

**JOB AIDS FOR NUCLEAR FACILITY
TRAINING PROGRAM EVALUATION
(REF: DOE-STD-1070-94)**

HOW TO USE JOB AID FORMS

Job aid forms were developed in support of *DOE-STD-1070-94, Guidelines for Evaluation of Nuclear Facility Training Programs*, for persons or organizations involved in evaluating training methods, materials, and programs at DOE nuclear facilities.

Prior to using these job aid forms, evaluators should become familiar with DOE-STD-1070 Section 5, The Evaluation Process, which discusses benefits of evaluations, evaluator qualifications, evaluation methods, evaluation frequency, and graded approaches.

The evaluation of training and qualification programs requires a general technical knowledge of the facility and/or program being evaluated, as well as an understanding of the processes and methodologies involved in the design, development, management and administration of training systems. Evaluators should be knowledgeable, or be trained, in evaluation methodology and be familiar with the objectives and criteria they are evaluating.

The job aid forms support each of the criterion listed in DOE-STD-1070-94. They contain the amplifying statements from each criterion. Space is provided for the evaluator to develop lines of inquiry that can be tailored to each evaluation or surveillance activity to be performed. Several previously developed resources, from which lines of inquiry can be obtained, are available. For example, the DOE-SR Operations Office Handbook for Evaluation of Training and Qualification Programs, the DOE-RL Guidelines for Evaluation of Hanford Training Programs, and the former TAP Manual (DOE/NE-0103T) Accreditation Review Team Data Collection Guidelines contain guidance for developing lines of inquiry that could be adapted to fit the particular needs or areas of emphasis for the evaluation at hand.

A generic evaluation form is provided at the end of this package (page 39) to assist the evaluator in collecting the data associated with the evaluation. The evaluator should make a copy of this form for each criterion to be evaluated. The portion of the form that identifies the facility, objective, etc. should be completed prior to the evaluation. This evaluation form provides a mechanism for documenting the data collected, the personnel contacted, and the documents reviewed during the evaluation. Based on the evaluation, the evaluator has two ratings to choose from: Satisfactory or Unsatisfactory. Satisfactory indicates that processes or

products are in place to satisfy the criterion. Unsatisfactory indicates that the criterion is not being met as it applies to the particular facility or program. Comments that summarize and support the conclusion reached by the evaluation (i.e., satisfactory/unsatisfactory) should be recorded in the COMMENTS/CONCERN section. The evaluator should also comment on any noteworthy practices identified during the evaluation.

Whenever possible, the evaluator should try to get more than one perspective when evaluating a program or process, particularly if it appears that a deficiency exists. This can be accomplished by backing up document reviews with interviews or interviewing two different individuals (e.g., training staff and line management) about the same topic. Although it is important to interview facility line managers and training managers, it is equally important to interview individuals at the working level to gain an accurate overall perspective regarding day-to-day implementation of the program. Trainees, instructors, job incumbents, and first-line supervision should be interviewed during the course of the evaluation.

Evaluators using the job aid forms should consider the variety of training options that are available for establishing and maintaining personnel training and qualification programs. The reduced risk and complexity associated with performance of a job or the lower nuclear hazard category of the facility affected may warrant the use of simpler, less detailed alternative methods to achieve results that are both satisfactory and effective. Alternate methods that are consistent with overall organization needs, policies, and resources are acceptable. *DOE-HDBK-1074-95, Alternative Systematic Approaches to Training*, provides guidance on these alternative methods.

MANAGEMENT AND ADMINISTRATION OF TRAINING AND QUALIFICATION PROGRAMS

OBJECTIVE 1.0 The facility is organized, staffed, and managed to facilitate planning, directing, evaluating, and controlling a systematic training process that supports the facility mission(s).

Criteria 1.1 Facility line management has overall responsibility and authority for the content and effective conduct of the training and qualification program(s).

Amplifying Guidance

- Line management ownership, commitment, and accountability are the foundation for the training and qualification programs at the facility. Line management is responsible for ensuring that these programs will produce competent workers and supervisors.
- The commitment to the training of personnel at the facility includes participation of line management in all phases of the training program.
- Management ensures that resources are available to support the training effort, mandates attendance at training sessions, and is thoroughly knowledgeable of all aspects of the training and qualification program(s) in which that facility's personnel participate.
- Management-approved policies and procedures are implemented that promote a systematic approach to training.
 - They adequately describe the duties, responsibilities, and authorities of line and training management, and detail the interfaces involved in implementing the training and qualification programs for both training staff and facility personnel.
 - They also describe the process for the analysis, design, development, implementation, and evaluation of the training programs.

Lines of Inquiry

[illegible]

MANAGEMENT AND ADMINISTRATION OF TRAINING AND QUALIFICATION PROGRAMS

OBJECTIVE 1.0 The facility is organized, staffed, and managed to facilitate planning, directing, evaluating, and controlling a systematic training process that supports the facility mission(s).

Criteria 1.2 An organization/person within line management is responsible for the implementation of the training and qualification program(s).

Amplifying Guidance

- A training group is established as part of the line organization.
- If a training group is not separately established, then personnel within the line organization are assigned responsibilities for implementing the training and qualification program(s).
- At facilities with small staffs and/or training programs, the training group may consist of only one individual, either full- or part-time. However, the job function, responsibilities, authority, and accountability of personnel involved in managing, supervising, and/or implementing training are clearly defined in the incumbent's job description, procedure, or similar document.

Lines of Inquiry

[illegible]

MANAGEMENT AND ADMINISTRATION OF TRAINING AND QUALIFICATION PROGRAMS

OBJECTIVE 1.0

The facility is organized, staffed, and managed to facilitate planning, directing, evaluating, and controlling a systematic training process that supports the facility mission(s).

Criteria 1.3

Goals, objectives, and plans are in place to describe the implementation of the training and qualification programs.

Amplifying Guidance

- Written goals and objectives related to the implementation of the training and qualification processes are in place and stated in documents such as strategic plans, award fee criteria, policies, and mission statements.
- The goals and objectives adequately address the current issues that are important to both contractor management and DOE.
- Facility line management and the training organization implement specific plans as appropriate to ensure adequate management of the training program.

Lines of Inquiry

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MANAGEMENT AND ADMINISTRATION OF TRAINING AND QUALIFICATION PROGRAMS

OBJECTIVE 1.0 The facility is organized, staffed, and managed to facilitate planning, directing, evaluating, and controlling a systematic training process that supports the facility mission(s).

Criteria 1.4 Training records are maintained to support management information needs and to provide required historical data.

Amplifying Guidance

- Training records are maintained in an auditable manner.
- Training records support management information needs and provide required data on each individual's training participation, performance, and qualification/certification.
- Training records are also maintained to support verification of the accuracy of training program content.

Lines of Inquiry

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MANAGEMENT AND ADMINISTRATION OF TRAINING AND QUALIFICATION PROGRAMS

OBJECTIVE 1.0 The facility is organized, staffed, and managed to facilitate planning, directing, evaluating, and controlling a systematic training process that supports the facility mission(s).

Criteria 1.5 Training developed and/or implemented by personnel or organizations other than the operating contractor's staff is monitored and controlled to ensure that it meets applicable facility requirements.

Amplifying Guidance

- Training provided by an outside organization (e.g., sub-contractor, vendor, site central training) in support of the qualification or certification of facility personnel meets the same basic requirements for development, implementation, testing, and documentation as training provided by the facility staff.

Lines of Inquiry

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MANAGEMENT AND ADMINISTRATION OF TRAINING AND QUALIFICATION PROGRAMS

OBJECTIVE 1.0 The facility is organized, staffed, and managed to facilitate planning, directing, evaluating, and controlling a systematic training process that supports the facility mission(s).

Criteria 1.6 Training facilities, equipment, and materials effectively support training activities.

Amplifying Guidance

- Adequate facilities are available to support safe and consistent training.
- Sufficient facilities and proper tools, equipment, and materials are available to support applicable training content and performance activities (e.g., hands-on training for maintenance personnel and technicians).
- Instructional support materials and equipment such as audio-visual equipment, flip charts, and marker boards are adequate to support the training activities.
- In addition to facilities to support the implementation of training, staff facilities and equipment are available to support analysis, design, development, and evaluation of training.
- Technical reference materials such as procedures, technical manuals, and drawings are readily available to instructors and trainees on all shifts.

Lines of Inquiry

This image shows a full page of white paper with horizontal blue or grey ruling lines. The lines are evenly spaced and run across the width of the page, providing a template for handwriting practice or general writing. There are no margins, text, or other markings on the page.

DEVELOPMENT AND QUALIFICATION OF TRAINING STAFF	
OBJECTIVE 2.0:	Training staff (contractor and subcontractor) possess the technical knowledge, experience, and the developmental and instructional skills required to fulfill their assigned duties.
Criteria 2.1	The training staff have and maintain the education, experience, and technical qualifications for their respective positions.
<u>Amplifying Guidance</u> <ul style="list-style-type: none">Instructors have the technical qualifications, including theory, practical knowledge, and experience for the subject matter that they are assigned to teach.Methods are implemented to ensure that individual instructors meet and maintain instructional and technical position qualification requirements.Developmental and instructional qualifications of instructors include theory, practical knowledge, and work experience in analyzing, designing, developing, conducting, and evaluating training, as appropriate to their job assignments.	
<u>Lines of Inquiry</u> <div></div>	

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TRAINEE ENTRY-LEVEL REQUIREMENTS	
OBJECTIVE 3.0	Trainees meet the minimum requirements for entry into the training program.
Criteria 3.1	Entry-level requirements are established for each position and include, as applicable, the minimum education, experience, technical, and medical requirements.
<u>Amplifying Guidance</u> <ul style="list-style-type: none">Procedures or policies describe the personnel selection and entry-level requirements.Line management, working with Human Resources personnel, identify the entry-level criteria for personnel working in a particular operating organization and/or assigned to specific duties or tasks.Entry-level requirements address the minimum physical attributes a trainee must possess, as well as the minimum educational, technical, and experience requirements necessary for the employee to meet job requirements.	
<u>Lines of Inquiry</u> <div></div>	

TRAINEE ENTRY-LEVEL REQUIREMENTS	
OBJECTIVE 3.0	Trainees meet the minimum requirements for entry into the training program.
Criteria 3.2	Personnel selected and/or assigned to the operating organization meet the prescribed entry-level requirements prior to being assigned to a position.
<u>Amplifying Guidance</u> <ul style="list-style-type: none">Line management is responsible for the hiring or transfer of personnel into positions for which entry-level requirements are established.Applicable education, experience, technical, and medical requirements are verified and documented for personnel who are required to meet entry-level requirements.	
<u>Lines of Inquiry</u> <div></div>	

TRAINEE ENTRY-LEVEL REQUIREMENTS	
OBJECTIVE 3.0	Trainees meet the minimum requirements for entry into the training program.
Criteria 3.3	Training program entry-level requirements are reviewed and revised as necessary on the basis of evaluation of trainee performance.
<u>Amplifying Guidance</u> <ul style="list-style-type: none">• Entry-level requirements for a training program are reviewed as part of the overall evaluation process.• Entry-level requirements are at the proper level to ensure that personnel can achieve the established learning objectives at the completion of training.• Individual training course prerequisites are also established and reviewed periodically.	
<u>Lines of Inquiry</u> <div></div>	

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DETERMINATION OF TRAINING PROGRAM CONTENT	
OBJECTIVE 4.0	Program content for competent job performance is identified, documented, and included in the training programs, as appropriate.
Criteria 4.3	Training for Technical Staff personnel is based on an assessment of position duties and responsibilities.
<u>Amplifying Guidance</u> <ul style="list-style-type: none">A detailed analysis is not necessary to determine training program content for technical staff personnel.Consensus-based content guides (i.e., Guides to Good Practices), broad-based assessments of training needs, and regulatory requirements can be used to assist with the determination of training program content. <p>NOTE: This method may also be sufficient to determine training program content for positions at many low-hazard nuclear facilities.</p>	
<u>Lines of Inquiry</u> <div></div>	

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DESIGN AND DEVELOPMENT OF TRAINING PROGRAMS

OBJECTIVE 5.0 Training program materials identify and support the knowledge and skills needed by trainees to perform tasks associated with the position for which training is being conducted. The content of initial training prepares the trainee to perform the job for which the candidate is being trained. The content of continuing training maintains and improves incumbent job performance.

Criteria 5.2 Lesson plans and other training materials used in the selected training setting (e.g., classroom, laboratory, simulator, individualized instruction, on-the-job training, etc.) are accurate, support the learning objectives, and promote effective delivery of training.

Amplifying Guidance

- Lesson plans are developed or modified using learning objectives derived from job performance requirements.
- The content of lesson plans and other training materials adequately addresses the learning objectives.
- The lesson plans contain sufficient detail to ensure consistent and repeatable training. Information contained in the lesson plans is sufficient to ensure that personnel are trained to a level required and expected by facility management.
- Lesson plans or equivalent training guides are used for laboratory training, on-the-job training, and simulator training and include standards for evaluating trainee performance.
- Training materials for these non-classroom training settings provide for effective and consistent instruction.
- The training materials provide sufficient information to guide the trainee and the instructor in the performance of the task.
- The training materials used to guide discussions with technical staff trainees normally are not in lesson plan format; rather training materials include key points that support the learning objectives, taking into account the job position and the experience of the designated instructor.

NOTE: This approach may also be sufficient for much of the training that is conducted at low-hazard nuclear facilities.

Lines of Inquiry

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DESIGN AND DEVELOPMENT OF TRAINING PROGRAMS	
OBJECTIVE 5.0	Training program materials identify and support the knowledge and skills needed by trainees to perform tasks associated with the position for which training is being conducted. The content of initial training prepares the trainee to perform the job for which the candidate is being trained. The content of continuing training maintains and improves incumbent job performance.
Criteria 5.4	A continuing training program is in place and maintains and improves the knowledge and skills of job incumbents.
<u>Amplifying Guidance</u> <ul style="list-style-type: none">Continuing training content includes refresher training on overtrain tasks, facility and industry events, facility and procedure modifications, retraining addressing task performance deficiencies, and training on infrequently performed tasks.	
<u>Lines of Inquiry</u> <div></div>	

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TRAINEE EXAMINATIONS AND EVALUATIONS	
OBJECTIVE 7.0	Individual trainees are examined and/or evaluated on a consistent and regular basis to ensure that learning is taking place and that trainees are acquiring the knowledge and skills required to work efficiently and safely at their jobs.
Criteria 7.3	The content of written and oral examinations is changed at intervals sufficient to prevent compromise.
<u>Amplifying Guidance</u> <ul style="list-style-type: none">A policy or procedure is implemented to provide direction for how often and how much examinations are changed to prevent compromise.Examination changes may be based on how often the course of instruction is used and whether the test data is controlled or shared with the trainees as a part of the learning process.	
<u>Lines of Inquiry</u> <div></div>	

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EVALUATION FORM	
FACILITY _____	OBJECTIVE # _____
PROGRAM _____	CRITERION # _____
EVALUATOR _____	DATE _____
<div>RESULTS OF EVALUATION</div> <div>SATISFACTORY ____ UNSATISFACTORY ____</div> <div>COMMENTS/CONCERNS _____</div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div>	
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